NAVA 402: Leadership and Ethics

Department of Naval Science Spring 2022

Contact Information

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Prerequisites

NAVA 203 (Leadership and Management I) for all students. For Naval Science Minors, this class should be the last taken in the sequence unless permission is given by the instructor. For USN/USMC option Midshipmen, this class must be taken prior to graduation/commissioning and should be taken in the Senior year.

Course Objectives

Leadership and Ethics is the capstone course of the NROTC academic syllabus and is designed to provide future naval leaders with a sound moral leadership foundation for "real life" military decision-making. It prepares future leaders by exploring and applying a diverse range of leadership and ethical tools to enhance objective, sound, and timely decision-making in the most challenging environments. The course emphasizes the importance of leadership that adheres to the highest standards of character and integrity. It is a "Leadership Seminar" where fundamentals and applications of leadership and ethics will be discussed. This course completes the NROTC academic preparations for Midshipman prior to commissioning.

Learning Outcomes

- Comprehend the role of commissioned officers as members of the U.S. Armed Forces and know the obligations and responsibilities assumed by taking the oath of office and accepting a commission including the Constitutional requirement for civilian control.
- Comprehend the Naval officer's roles and responsibilities as a member of the profession of arms.
- Comprehend the significance of special trust and confidence vested in commissioned officers.
- Comprehend the UCMJ, practice of military law, and applications of regulations as they may involve a junior officer in the performance of duties.
- Comprehend the purpose, scope, and constitutional basis of Navy Regulations and the Uniform Code of Military Justice and relate these regulations to personal conduct in the military service.

- Comprehend junior officer responsibilities relative to the military justice system including familiarization with: search and seizure; apprehension and power; non-judicial punishment; investigations; courts martial; administrative discharges; and extra military instruction.
- Comprehend the relationship of the Oath of Office to Navy core values.
- Know and recite the Oath of Office.
- Comprehend the significance of special trust and confidence vested in commissioned officers as members of the profession of arms.
- Comprehend the basic elements of the Constitution of the United States.
- Know the Navy Ethos.
- Know and comprehend the Navy Leader Development Strategy.
- Know the Charge of Command.
- Comprehend the relationship between authority, responsibility, and accountability.
- Comprehend the leader development elements of experience, education, training, and personal development.
- Comprehend the professional, moral and ethical responsibilities of the Naval Officer.
- Comprehend the relationship of integrity, moral courage, and ethical behavior to authority, responsibility, and accountability.
- Demonstrate, by personal example, the professional attributes and behaviors of a Naval Officer.
- Know the International Law of Armed Conflict including Rules of Engagement (ROE), conduct of hostilities, rights of individuals, obligations of engaged parties, and the Code of Conduct for members of the U.S. Armed Forces.
- Demonstrate an understanding how the following influence an officer's ability to effectively lead in an organization: importance of officers leading by personal example; prioritization of Constitution, mission, service, command, shipmate and self; use of authority; definition of a lawful order; process for challenging unlawful orders; conveyance of clear and concise Commander's intent; degree of delegation and decentralization; officer-enlisted professional relationship; fostering loyalty up and down the chain of command; morale and esprit de corps; supervision and follow-up; time management and prioritization.
- Demonstrate an understanding of basic counseling skills.
- Comprehend the importance of feedback to mission effectiveness.
- Comprehend motivational techniques with may be useful in leadership situations.
- Know the elements and intellectual standards of critical thinking.
- Know the importance of properly developed mission statements and objectives.
- Apply leadership skills to achieve objectives.
- Comprehend the relationship between goal setting and feedback and apply this understanding to measurements, inspections and reports.
- Demonstrate the ability to communicate effectively.
- Demonstrate effective oral and written communication.
- Comprehend the importance of training and qualification to personal/professional development and mission readiness.
- Know the importance of continuing education, professional reading, and lifelong learning to professional and personal development as a leader and Naval Officer.
- Know the availability and applicability of the CNO's Professional Reading program to personal development.
- Comprehend the UCMJ, practice of military law, and applications of regulations as they may involve a junior officer in the performance of duties.
- Comprehend the purpose, scope, and constitutional basis of Navy Regulations and the Uniform Code of Military Justice and relate these regulations to personal conduct in the military service.

- Comprehend and demonstrate adherence to the standards of conduct for military personnel

Required Texts and Materials

Primary Texts:

- Case Studies in Ethics for Military Leaders (CSEML), NROTC 5th ed., Dr. George R. Lucas, Jr. and CAPT W. Rick Rubel. Boston, MA: Pearson Education, 2015. (ISBN 978-1-323-00172-1)
- Ethics and the Military Profession (EMP), 5th ed. Dr. George Lucas and CAPT W. Rick Rubel. Boston, MA: Pearson Education, 2015. (ISBN 978-1-323-00171-4)
- Marine Officer's Guide (MOG), 7th ed. Kenneth W. Estes. Annapolis, MD: Naval Institute Press, 2008. (ISBN 978-1-59114-239-3) MARINE OPTION STUDENTS WILL RETAIN THIS BOOK
- Naval Officer's Guide (NOG). 12th ed. William P. Mack, Harry Seymour, Jr., and Lesa A. McComas. Annapolis, MD: Naval Institute Press, 2004. (ISBN 1-55750-645-0) NAVY OPTION STUDENTS WILL RETAIN THIS BOOK.
- Above texts will be issued by the NROTC Naval Science Supply Officer.

Handouts and Supplemental Readings: as directed by the instructor at no cost. These materials will be available on the class google drive at Google Drive:
https://drive.google.com/drive/folders/1Jq9mnE1yjN5AP6CJoYrMv0x8YWztqHiZ?usp=sharing

Assignments:

Leadership and Ethics is a discussion-based seminar course. The instructor will serve as the facilitator in order to ensure class discussions incorporate key course concepts. Preparation, active participation, and respect for your fellow students' ideas and opinions are all critical to student success in this course. Classes will employ several teaching methods and mediums to properly cover course objectives. The course will utilize the following instruments to ensure course mastery:

Participation and Preparation – 15%:
Daily attendance and participation in class discussions is a requirement for successful completion of this course. Classmates will learn from each other so each student should come ready to share their knowledge, thoughts, and opinions on the readings assigned as well as applicable current events. Quizzes may be given periodically as a knowledge check and to verify preparation. Quiz grades will be included in the Participation and Preparation portion of the grade and quizzes may or may not be announced. If students do not regularly complete the assigned readings, quizzes will be given more frequently.

Journals – 35%:
In order to better engage with the material and to practice lucid writing, students will maintain an ethics journal to explore ethical challenges through prompts and exercises assigned in the class. Entries should be approximately 250 words, but not more than a single page. Emphasis should be placed on correct grammar and clear, concise expression of your thoughts. Hard copy, email, or google drive is acceptable. No one, other than the instructor, will read your ethics journals unless your permission is given in advance.

Presentation – 20%:
To practice oral presentation and formal interactions, students will be placed into random group to write a white paper and then provide the class with a 15 to 20 minute presentation on their topic. The presentation should be designed to convince a senior leader to make an ethical decision. Each presentation will be followed by a question and answer period. Students are encouraged to be creative in their presentation and may include a number of methods or media (as long as nothing is offensive or goes against good order and judgment). The student should discuss any idea with the instructor that he

or she feels may be in a "gray" area. A grading rubric with more specifics will be provided later in the semester.

Exams -15% each:
A closed book mid-term and open book final exam will be administered in the course. The mid-term will include short answer, multiple-choice, true/false, fill in the blank, and short essay questions. The final exam will consist of a take-home exam with multiple choice, short essay, and essay responses. The mid-term and final exam material will be taken from course readings, videos, class discussions and group presentations. Each of these exams will be preceded by a brief review session. The midterm exam will cover all course material up until that point of time in the semester. The final exam will primarily focus on material since the midterm exam but may include fundamental material learned earlier in the semester. The final exam must be completed in its entirety in order to receive full credit.

Additional Information:

Professionals are expected to possess the ability to clearly express themselves; therefore grammar, spelling, and punctuation are taken into consideration when determining your final grade on all written assignments. Other than activities conducted during in-class workshops or group presentations, all work is to be developed independently.

Grading Matrix

Letter Grades

A+	(97-100%)	A	(94-96%)	A-	(90-93%)
B+	(87-89%)	B	(84-86%)	B-	(80-83%)
C+	(77-79%)	C	(74-76%)	C-	(70-73%)
D+	(67-69%)	D	(64-66%)	D-	(60-63%)
F (Anything below 60%)					

Assignments

Participation/Preparation	15%
Journals	35%
Presentation	20%
Mid-term	15%
Final	15%

Grading Policies

All assignments will be graded on a 100-point scale. Students are welcome to review their progress at any time and discuss assigned grades (including requests for re-scoring) with the instructor. To ensure a level playing field, grades will be reduced for assignments submitted late unless prior arrangements based on unique circumstances have been made with the instructor. Generally, this will mean a 10% deduction for each day the assignment is tardy. Extensions for assignments or a change in exam dates will not be granted without prior coordination with the professor well in advance of the deadline.

Incomplete grades or an "I" may be assigned only when an authorized absence or other cause beyond the student's control has prevented the completion of a major course requirement, usually a final examination or paper, which will remain the case for a significant length of time. You must have a passing average in all work completed at the time the incomplete is given. Incomplete work must shall be completed and a grade recorded no later than one calendar year from the term close in which the grade was earned. If the incomplete is not removed within the time allotted, the "I" will be changed to "F" by the registrar.

Academic Integrity

The Core Values of the United States Navy and Marine Corps are Honor, Courage, and Commitment. Academic dishonesty of any kind is contrary to our NROTC Core Values and to the policy of Rice University as stated below in an excerpt from the Honor Council Constitution:

Article I. Principles

Section 1: The purpose of the Honor System is to allow maximum freedom for students, undergraduate and graduate, in the completion of all academic work and to ensure the integrity of the work. When students accept this freedom and trust, they are placed on their honor by the group neither to cheat on any assignment nor to violate the trust placed in them in any way. Students demonstrate their responsibilities to their fellow students under the Honor System when they can pledge, in good conscience, that their work is their own and that they have neither witnessed nor suspect violations by others.

Section 2: All assignments submitted by undergraduates at the University are covered by the Honor System, as are all assignments submitted by graduate students relating to course work. The instructor can and should decide how the Honor System applies to each assignment in their course and to clearly communicate this expectation to the students. However, it is the student's responsibility to understand how the Honor System applies to each individual assignment and any questions should be raised with the instructor before submitting the assignment. The only limitations placed on the freedom in structuring academic work are those rules made through the Honor Council for the best interest of the group. It is the obligation of every student and faculty member to not violate the system, to not aid in any violation, and to report any violation seen or suspected.

Other Policies

Disability Support Services

If you have a documented disability or other condition that may affect academic performance you should: 1) make sure this documentation is on file with Disability Support Services (Allen Center, Room 111 / adarice@rice.edu / x5841) to determine the accommodations you need; and 2) talk with me to discuss your accommodation needs.

Title IX: Sexual Harassment and Sexual Violence Policy

At Rice University, unlawful discrimination in any form, including sexual misconduct, is prohibited under Rice Policy on Harassment and Sexual Harassment (Policy 830) and the Student Code of Conduct.
Please be aware that all employees of Rice University are "mandatory reporters," which means that if you tell me about a situation involving sexual harassment, sexual assault, dating violence, domestic violence, or stalking, I must share that information with the Title IX Coordinator.
Although I have to make that notification, you will control how your case will be handled, including whether or not you wish to pursue a formal complaint. Our goal is to make sure you are aware of the range of options available to you and have access to the resources you need.
To report sexual harassment, please contact the Title IX Coordinator at titleix@rice.edu. To explore supportive measures and other resources that are available to you, please visit the Office if Interpersonal Misconduct Prevention and Support at https://safe.rice.edu.

Discrimination Policy

Rice University is committed to maintaining a learning and working environment that is free from discrimination. In accordance with Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits sex discrimination in employment; and the Campus Sexual Violence Elimination Act (SaVE Act), Violence Against Women Act (VAWA), and Clery Act, violation of any of these polies will not be tolerated and will be subject to disciplinary action.

Confidentiality of Student Information

Rice encourages any student who has experienced an incident of sexual, relationship, or another form of interpersonal violence, harassment, or gender discrimination to seek support. There are many options available both on and off campus for all students, regardless of whether the perpetrator was a fellow student, a staff or faculty member, or someone unaffiliated with the university. Students have access to a Title IX resource navigator who will assist the student in determining the best path for them. Furthermore, students who have been accused of committing interpersonal violence or harassment can also seek support under Title IX.

Students should be aware when seeking support on campus that most employees are deemed "responsible," and thus are required by Title IX to disclose all incidents of non-consensual interpersonal behaviors to Title IX professionals on campus who can act to support that student and meet their needs. Rice prioritizes student privacy and safety, and only shares disclosed information on a need-to-know basis.

The therapists at the Rice Counseling Center and the doctors at Student Health Services are "confidential" employees, meaning that Rice will not be informed about the incident if a student discloses it to one of these staff members.

For more information, including how to reach out to Title IX Support, please visit safe.rice.edu or email titleixsupport@rice.edu.

Rice Counseling Center

The Rice Counseling Center can be contacted at 713-348-3311 or at https://wellbeing.rice.edu/. Psychological crisis intervention, on a walk-in emergency basis during regular office hours or by phone at any time, 24 hours a day, by calling 713-348-3311. This includes after hours and weekends.

College Academic Programs

Each residential college has an Academic Fellows or Mentors Society, an honorary service organization dedicated to academic life in the college. All Fellows and Mentors Societies provide free academic assistance on a regular basis through advertised review sessions, “office hours”, or requested individual meetings. Two major advantages of consulting a Fellow or Mentor include: 1) the convenience and proximity of the source, 2) the familiarity of the Fellow or Mentor with the specific course.

Professional Dispositions

This is a capstone class which is intended to prepare your for your career in the Navy and Marine Corps or the civilian world. You should this class, as you anticipate treating your first job following graduation. Unless asked for a draft or 80% solution, the work products that you turn in should reflect your best work to include a spell and grammar check, graphs and charts labeled, and neat formatting to include your name and contact information.
Here are the things which are specifically expected of you:

1. Attendance:
Regular class attendance either in person, or via Zoom when available and pre-arranged, is mandatory. Excessive absenteeism, whether excused or unexcused, may result in a student's course grade being reduced. Just as you will find with meetings in the Fleet or civilian professional world, if you arrive just as class begins, you are late. Arrive a few minutes early and get settled in so you can be focused the moment class starts. If you are attending via Zoom, ensure you login in plenty of time so that you can check your audio and video prior to class beginning. Tardiness will result in a lower participation grade.

2. Communication:
You should use a professional tone in email correspondence with me. You should start with "Dear Professor," or "Dear CAPT", and conclude with "Very Respectfully," (for military students) or "Sincerely,". Spelling, grammar, and punctuation should be correct. Be direct and to the point. Do not use excessive exclamation points or SMS abbreviations. Here is a *great* article about how students can send their professors professional, effective emails: https://goo.gl/h2XRRA . Class attendance and completion of course assignments is your responsibility. If you have questions about an assignment or due date, please consult this syllabus and ask. If you have a personal issue that arises, let me know early and we can solve almost any problem. If you let me know after the fact, we have far fewer options.

3. Class Protocols:
Chewing gum and the use of tobacco products of any kind will not be allowed in the classroom at any time. Students may bring food and drinks to class. Students are expected to leave the classroom in a clean and orderly fashion. The use of cell phones during class is prohibited unless specifically allowed in support of the class. Be courteous to the instructor and your classmates by placing your phone on silent or off during class. If a student has a special circumstance which warrants the cell phone being in the on position during class, he or she should talk to the instructor prior to class. Cell phone and tablet cameras can be used to take pictures of notes or slides for out of class studying. The use of a personal laptop computer or tablets in class for the purpose of taking notes is permitted. At no time during class (in person or via Zoom) will personal computers be used for purposes other than note taking or researching discussed topics. Students who are found using their computer to access the internet for non-class related activities or other non-class related purposes will be asked to turn it off.

4. Honesty and Integrity:
As we will cover in this class at length, honesty and integrity are at the heart of being a professional. The legal penalty in the United States Navy and Marine Corps for cheating is significant, but the repercussions to your team, family, nation, and personal character are often far worse. It is never worth trading your character for a few points in your grade. It is better to turn in an assignment late and receive a relatively minor grade penalty than it is to cut corners.

5. Class Discussions:
Learning to express your candid opinions about ethical philosophy and the case studies we will cover is essential to your professional development. Apart from military courtesies extended to the instructor by Midshipmen and Officer Candidate students, all classroom behavior should be "collegial." Students are free to interject and question without waiting for direct recognition from the instructor (i.e. raising hand and being called upon), so long as the interjection is not unduly disruptive. Don't keep your ideas to yourself or whisper them to a neighbor. Don't worry about sounding foolish—it is ok to be wrong. The study of ethics requires struggling with decisions between right and wrong, and even more often, between the better of two rights or the less bad of two wrongs. Processing these decisions frequently involves strong emotions. Please remember to respect the opinions and thoughts of your classmates and give them space to "think out loud" or make errors in judgement as we struggle with this difficult material. You and I will also make mistakes that require grace from your classmates. I expect and appreciate your help in gracefully identifying errors while being respectful of others. Discovering that you are wrong and learning to change your mind is essential to being a good leader. Both students and the instructor will "police" classroom behavior. Inflammatory or offensive comments, bigotry, sexual, ethnic or racial slurs, avocation of illegal action, etc., will not be tolerated. A student (and/or the class as a whole) will immediately drop any such line of discussion when requested to do so by the instructor or by another student. Any offended party is obligated to inform the professor, either in public or in private. Any views expressed by the professor, unless specifically attributed otherwise, should be considered the personal views of the instructor and may not be representative of any official policy or viewpoint of the Government, Navy, or respective University.

Course Schedule

DATE	DAY	TOPIC	Readings and Assignments
11-Jan	Tues	**No Class**	
13-Jan	Thurs	**No Class**	
18-Jan	Tues	Leadership and Ethics Course Overview	
20-Jan	Thurs	Cultural Narratives and Moral Discourse	EMP: 9-12, Handouts. **Journal Due COB Friday**
25-Jan	Tues	Rationalization, Socialization, and Moral Perception	CSEML 13-16, 47-52; Handouts.
27-Jan	Thurs	Moral Deliberation Roadmap : Intro	CSEML 3-6, 83-85; 141-146; Handouts. **Journal Due COB Friday**
1-Feb	Tues	Moral Deliberation Roadmap: Constraints	CSEML: 81, 197-202; Handouts, Video.
3-Feb	Thurs	Moral Deliberation Roadmap: Consequences	CSEML: 79-80; EMP 147-150; Handouts. **Journal Due COB Friday**
8-Feb	Tues	Moral Deliberation Roadmap: Special Obligations	EMP: 57-62; 71-80; CSEML: 73-78, 105-108; Handouts.
10-Feb	Thurs	**No Class - Spring Recess**	
15-Feb	Tues	Moral Excellence: Virtue and Human Flourishing	EMP: 185-194; Handouts.
17-Feb	Thurs	Moral Excellence: Pride, Humility, Ritual, and Obedience	EMP: 203-204; 211-213; Handouts. **S&S Journal Due Prior to Class**
22-Feb	Tues	Flex Class/Review	
24-Feb	Thurs	**Mid Term Exam**	

1-Mar	Tues	Moral Excellence: Temperence, Excellence, and Self-Mastery	EMP: 435-444, 447-458; Handouts.
3-Mar	Thurs	Moral Excellence: Courage and the Limits of Morality	CSEML: 101-104; Handouts. **Media Fast Journal Due Prior to Class**
8-Mar	Tues	Moral Excellence: JO Leadership	Handouts
10-Mar	Thurs	Moral Excellence: Moral Injury	CSEML: 43-46, 53-54; Handouts. **Gratitude Journal Due Prior to Class**
15-Mar	Tues	**No Class - Spring Break**	
17-Mar	Thurs	**No Class - Spring Break**	
22-Mar	Tues	Moral Discipline: Disciplinary Tools	MOG: 499-507; NOG: 20-21; Handouts.
24-Mar	Thurs	Moral Discipline: Rights and Military Justice	MOG: 567-569, 577-587; NOG: 249-260; Handout. **Journal Due COB Friday**
29-Mar	Tues	Moral Discipline: Military Justice Tools	MOG: 572-576; NOG 254-256; Handouts.
31-Mar	Thurs	Moral Discipline: Courts -Martial	CSEML: 197-201, Handouts. **Journal Due COB Friday**
5-Apr	Tues	Just War: Jus Ad Bellum	EMP: 249-253, 255, 257-263, 283-284, 335-340; Handouts
7-Apr	Thurs	Just War: Jus in Bello	EMP: 297-311; Handouts. **Journal Due COB Friday**
12-Apr	Tues	**Flex Day/Ethics Presentations**	
14-Apr	Thurs	**Ethics Presentations**	
19-Jan	Tues	Issues of Modern War	EMP: 313-324, Handouts; Videos.
21-Jan	Thurs	**Wrap-up/Distribute Final**	
27-Apr	Wed	**Turn-in Final and Books**	NLT Wed turn in books and final

NOTE: Course schedule is subject to change